



Serial No. 10/689,792

Docket No. 132913-1

IFW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Larry Neil Lewis et al.

: Group Art Unit:

Serial No.: 10/689,792

: Examiner:

Filed: October 20, 2003

For ELECTRO-ACTIVE DEVICE HAVING  
METAL-CONTAINING LAYER

**SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT**

- ☒ 1 **Pursuant to 37 CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION  
Honorable Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 & 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

1-21-04  
Date of Deposit

Manica Gentile  
Type or Print Name

Manica Gentile  
Signature

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR §1.97(d): [On or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
- ☐ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement and any other fees applicable to this application to Deposit Account No. 07-0868. An original and two (2) copies of this document are enclosed.

January 21, 2004

Date

General Electric Company  
CRD Patent Docket Rm 4A59  
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Schenectady, New York 12301  
Customer Number: 006147

Respectfully submitted,



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FORM PTO-1449  
(REV. 7-80)US. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
132913-1SERIAL NO.  
10/689,792

INFORMATION DISCLOSURE STATEMENT BY APPLICANT  
LIST OF ITEMS

Applicant  
Larry Neil Lewis et al.Filing Date  
10/20/03

Group Art Unit

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A1					
	A2					
	A3					
	A4					

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	<u>TRANSLATION</u> YES NO
	B1	JP20002231657	8/16/02	Japan (Abstract)		X
	B2	JP 8020870	1/23/96	Japan (Abstract)		X
	B3	JP 2800686	1/23/96	Japan (Abstract)		X

## OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.)

	C1	
	C2	
	C3	
	C4	
	C5	
	C6	
	C7	
	C8	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant